

FINRA Code for 17-01857 on Feb 4, 2021

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<html lang="en" dir="ltr" prefix="content: http://purl.org/rss/1.0/modules/content/ dc:
http://purl.org/dc/terms/ foaf: http://xmlns.com/foaf/0.1/ og: http://ogp.me/ns# rdfs:
http://www.w3.org/2000/01/rdf-schema# schema: http://schema.org/ sioc:
http://rdfs.org/sioc/ns# sioc: http://rdfs.org/sioc/types# skos:
http://www.w3.org/2004/02/skos/core# xsd: http://www.w3.org/2001/XMLSchema# ">
<head>
  <!-- Google Tag Manager -->
  <script>(function(w,d,s,l,i){w[l]=w[l]||[];w[l].push({'gtm.start':
    new Date().getTime(),event:'gtm.js'});var f=d.createElement(s)[0],
    j=d.createElement(s),dl=l!='dataLayer'?'&l='+l:'';j.async=true;j.src=
    'https://www.googletagmanager.com/gtm.js?id='+i+dl;f.parentNode.insertBefore(j,f);
  })(window,document,'script','dataLayer','GTM-PX5XDBN');

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Date).getTime(),o))-a}function i(){return o}var o=(new
Date).getTime(),a=o,c=e(8);t.exports=r,t.exports.offset=a,t.exports.getLastTimestamp=i},
[],3:[function(e,t,n){function r(e,t){var n=e.getEntries();n.forEach(function(e){"first-
paint"====e.name?d("timing",["fp",Math.floor(e.startTime)]):"first-contentful-
paint"====e.name&&d("timing",["fcp",Math.floor(e.startTime)]))}function i(e,t){var
n=e.getEntries();n.length>0&&d("lcp",[n[n.length-1]])}function
o(e){e.getEntries().forEach(function(e){e.hadRecentInputId("cls",[e]))}function a(e){if(e
instanceof m&&lg){var
t=Math.round(e.timeStamp),n={type:e.type};t<=p.now()?n.fid=p.now()-t:t>p.offset&&t<=Date.now()?(t=p.offset,n.fid=p.now()-t):t=p.now(),g!=0,d("timing",["fi",t,n]))}function c(e){d("pageHide",[p.now(),e])}if(!("init"in
NREUM&&"page_view_timing"in NREUM.init&&"enabled"in
NREUM.init.page_view_timing&&NREUM.init.page_view_timing.enabled==!=1)){var
f,u,s,d=e("handle"),p=e("loader"),l=e(5),m=NREUM.o.EV;if("PerformanceObserver"in
window&&"function"==typeof window.PerformanceObserver){f=new
PerformanceObserver(r);try{f.observe({entryTypes:["paint"]})}catch(v){}u=new
PerformanceObserver(i);try{u.observe({entryTypes:["largest-contentful-
paint"]})}catch(v){}s=new PerformanceObserver(o);try{s.observe({type:"layout-
shift",buffered:!0})}catch(v){}if("addEventListener"in document){var
g=!1,w=["click","keydown","mousedown","pointerdown","touchstart"];w.forEach(function(e
){document.addEventListener(e,a,!1)})}l(c),{},{}},4:[function(e,t,n){function
r(e,t){if(!t)return!1;if(e!=t)return!1;if(!n)return!0;if(!o)return!1;for(var
n=o.split("."),r=t.split("."),a=0;a<r.length;a++)if(r[a]!==n[a])return!1;return!0}var
i=null,o=null,a=/Version\((S+)\)\s+Safari/;if(navigator.userAgent){var
c=navigator.userAgent,f=c.match(a);f&&c.indexOf("Chrome")===-
1&&c.indexOf("Chromium")===-
1&&(i=="Safari",o=f[1])}t.exports={agent:i,version:o,match:r},{}],5:[function(e,t,n){function
r(e){function t(){}e(a&&document[a]?document[a]:document[i]?"hidden":"visible"))"addEventListener"in
document&&o&&document.addEventListener(o,t,!1)}t.exports=r;var
i,o,a;"undefined"!=typeof
document.hidden?(i=="hidden",o="visibilitychange",a="visibilityState"):"undefined"!=typeof
document.msHidden?(i=="msHidden",o="msvisibilitychange"):"undefined"!=typeof
document.webkitHidden&&(i=="webkitHidden",o="webkitvisibilitychange",a="webkitVisibilit
yState"),{}],6:[function(e,t,n){function r(e,t){var n=[],r="";o=0;for(r in
e)i.call(e,r)&&(n[o]=t(r,e[r]),o+=1);return n}var
i=Object.prototype.hasOwnProperty;t.exports=r},{}],7:[function(e,t,n){function
r(e,t,n){t||(t=0),"undefined"==typeof n&&(n=e?e.length:0);for(var r=-1,i=n-
t||0,o=Array(i<0?0:i);++r<i;)o[r]=e[t+r];return
o}t.exports=r},{}],8:[function(e,t,n){t.exports={exists:"undefined"!=typeof
window.performance&&window.performance.timing&&"undefined"!=typeof
window.performance.timing.navigationStart},{}],ee:[function(e,t,n){function r(){}function
i(e){function t(e){return e&&e instanceof r?e:e?u(e,f,a):a()}function
n(n,r,i,o,a){if(a==!=1&&(a!=0),!l.aborted||o){e&&a&&e(n,r,i);for(var
c=t(i),f=v(n),u=f.length,s=0;s<u;s++)f[s].apply(c,r);var p=d[h[n]];return
p&&p.push([b,n,r,c])}function o(e,t){y[e]=v(e).concat(t)}function m(e,t){var
n=y[e];if(n)for(var r=0;r<n.length;r++)n[r]===t&&n.splice(r,1)}function v(e){return
y[e]||[]}function g(e){return p[e]=p[e]||l(n)}function
w(e,t){s(e,function(e,n){t=t||"feature",h[n]=t,t in d[l(t)]=[]})}var
b=n,r=t,i=ee,e=window,f=window.a

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y={},h={},b={on:o,addEventListener:o,removeEventListener:m,emit:n,get:g,listeners:v,co
nText:t,buffer:w,abort:c,aborted:!1};return b}function o(e){return u(e,f,a)}function a(){return
new r}function c(){(d.apilld.feature)&&(l.aborted!=0,d=l.backlog={})}var
f="nr@context",u=e("gos"),s=e(6),d={},p={},l=t.exports=i();t.exports.getOrSetContext=o,l.
backlog=d,{}},gos:[function(e,t,n){function r(e,t,n){if(i.call(e,t))return e[t];var
r=n();if(Object.defineProperty&&Object.keys)try{return
Object.defineProperty(e,t,{value:r,writable:!0,enumerable:!1}),r}catch(o){return
e[t]=r,r}var
i=Object.prototype.hasOwnProperty;t.exports=r},{}],handle:[function(e,t,n){function
r(e,t,n,r){i.buffer([e],r),i.emit(e,t,n)}var
i=e("ee").get("handle");t.exports=r,r.ee=i,{}],id:[function(e,t,n){function r(e){var t=typeof
e;return!e||"object"!==t&&"function"!==t?-1:e==window?0:a(e,o,function(){return
i++})}var i=1,o="nr@id",a=e("gos");t.exports=r,{}],loader:[function(e,t,n){function
r(){if(!x++)var
e=b.info=NREUM.info,t=p.getElementsByTagName("script")[0];if(setTimeout(u.abort,3e4
),!(e&&e.licenseKey&&e.applicationID&&t))return
u.abort();if(y,function(t,n){e[t]||=(e[t]=n)});var
n=a();c("mark",["onload",n+b.offset],null,"api"),c("timing",["load",n]);var
r=p.createElement("script");r.src="https://"+e.agent,t.parentNode.insertBefore(r,t)}functio
n i(){("complete"==p.readyState&&o())function
o(){c("mark",["domContent",a()+(b.offset)],null,"api")};var
a=e(2),c=e("handle"),f=e(6),u=e("ee"),s=e(4),d=window,p=d.document,l="addEventListener",
m="attachEvent",v=d.XMLHttpRequest,g=v&&v.prototype;NREUM.o={ST:setTimeo
ut,SI:d.setImmediate,CT:clearTimeout,XHR:v,REQ:d.Request,EV:d.Event,PR:d.Promise,
MO:d.MutationObserver};var w=""'+location,y={beacon:"bam.nr-
data.net",errorBeacon:"bam.nr-data.net",agent:"js-agent.newrelic.com/nr-
1194.min.js"},h=v&&g&&g[1]&&!/CriOS/.test(navigator.userAgent),b=t.exports={offset:a.g
etLastTimestamp(),now:a.origin:w,features:{},xhrWrappable:h,userAgent:s};e(1),e(3),p[1]
?(p[1]("DOMContentLoaded",o,!1),d[1]("load",r,!1)):(p[m]("onreadystatechange",i),d[m]("on
load",r)),c("mark",["firstbyte"],a.getLastTimestamp(),null,"api");var x=0,{}],"wrap-
function":function(e,t,n){function r(e,t){function n(t,n,r,f,u){function nrWrapper(){var
o,a,s,p;try{a=this,o=d(arguments),s="function"==typeof
r?r(o,a):rl{};catch(l){i([l,"",[o,a,f],s],e)};c(n+"start",[o,a,f],s,u);try{return
p=t.apply(a,o)}catch(m){throw
c(n+"err",[o,a,m],s,u),m}finally{c(n+"end",[o,a,p],s,u)}};return
a(t)?t:(n||(n=""),nrWrapper[p]=t,o.t,nrWrapper,e),nrWrapper)}function
r(e,t,r,i,o){rl(r "");var c,f,u,s="-
"==r.charAt(0);for(u=0;u<t.length;u++)f=t[u],c=e[f],a(c)||((e[f]=n(c,s?f+r:i,f,o)))function
c(n,r,o,a){if(!m||t){var c=m;m=!0;try{e.emit(n,r,o,t,a)}catch(f){i([f,n,r,o],e)};m=c}};return
ell(e=s),n.inPlace=r,n.flag=p,n}function i(e,t){rl(t=s);try{t.emit("internal-
error",e)}catch(n){}function o(e,t){if(Object.defineProperty&&Object.keys)try{var
r=Object.keys(e);return
r.forEach(function(n){Object.defineProperty(t,n,{get:function(){return
e[n]},set:function(t){return e[n]=t,t}})},t)}catch(o){i([o],n)};for(var a in
e){l.call(e,a)&&(t[a]=e[a]);return t}}function a(e){return!(e&&e instanceof
Function&&e.apply&&e[p])}function c(e,t){var n=t(e);return n[p]=e,o(e,n,s),n}function
f(e,t,n){var r=e[t];e[t]=c(r,n);function u(){for(var e=arguments.length,t=new
Array(e),n=0;n<e;n++)t[n]=arguments[n];return t}}var
s=e("ee"),d=e(7),p="nr@original",l=Object.prototype.hasOwnProperty,m=!1;t.exports=r,t.

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exports.wrapFunction=c,t.exports.wrapInPlace=f,t.exports.argsToArray=u},{}],{},["loader"
]);</script>
<link rel="shortcut icon" href="/themes/custom/finra_bootstrap_sass/favicon.ico"
type="image/vnd.microsoft.icon" />

<title>Arbitration Awards Online | FINRA.org</title>
<link rel="stylesheet" media="all"
href="/sites/default/files/css/css_DGGfNZmObybGUOWeGNZgnUn09EJ9z1WPf7u9M6
w2Dak.css" />
<link rel="stylesheet" media="all"
href="https://use.fontawesome.com/releases/v5.7.2/css/all.css" />
<link rel="stylesheet" media="all"
href="https://use.fontawesome.com/releases/v5.7.2/css/v4-shims.css" />
<link rel="stylesheet" media="all"
href="/sites/default/files/css/css_ogeJDjVU0c6GRBoi4K5a1cl81rMK-
jZBjPKsqR7saCs.css" />
<link rel="stylesheet" media="all"
href="/sites/default/files/css/css_pT7EdiDiu5X6MaeqVQw1bnX46bbgISikkDcmcX6t6SA.
css" />
<link rel="stylesheet" media="all" href="//fonts.googleapis.com/css?family=Open+Sans"
/>
<link rel="stylesheet" media="all"
href="//fonts.googleapis.com/css?family=Open+Sans:300,300i,400,400i,600,600i,700,70
0i,800,800i" />
<link rel="stylesheet" media="all" href="//use.typekit.net/nba4hvp.css" />
<link rel="stylesheet" media="all"
href="/sites/default/files/css/css_0I9ySWqZFCFkPxo3nbS0SiDit5vroSR5R1QV42HExGE
.css" />

<!--[if lte IE 8]>
<script
src="/sites/default/files/js/js_VtafjXmRvoUgAzqzYTA3Wrjkx9wcWhjP0G4ZnnqRamA.js"
></script>
<![endif]-->

</head>
<body class="layout-one-sidebar layout-sidebar-first page-view-aa0-views">
<!-- Google Tag Manager (noscript) -->
<noscript><iframe src="https://www.googletagmanager.com/ns.html?id=GTM-
PX5XDBN"
height="0" width="0"
style="display:none;visibility:hidden"></iframe></noscript>
<!-- End Google Tag Manager (noscript) -->
<a href="#main-content" class="visually-hidden focusable">
  Skip to main content
</a>

<div class="dialog-off-canvas-main-canvas" data-off-canvas-main-canvas>

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<div id="page-wrapper">
<div id="page">
  <section class="row region region-top-banner">
    <div id="block-topbanner" data-block-plugin-id="block_content:9cf5d16b-c288-4bf1-88eb-9cea1541d1ca" class="block block-block-content block-block-content9cf5d16b-c288-4bf1-88eb-9cea1541d1ca">

      <div class="content">

        <div class="clearfix text-formatted field field--name-body field--type-text-with-summary field--label-hidden field__item"><p>For updates and guidance related to COVID-19 / Coronavirus, click <a href="/rules-guidance/key-topics/covid-19">here</a>.</p>
      </div>

    </div>
  </section>

  <header id="FINRA_header" class="header" role="banner" aria-label="Site header">

    <div class="collapse" id="search-form">
      <div class="header-form">
        <div class="row">
          <div class="col-lg-3">
            <section class="region region-header">
              <a href="/" title="Home" rel="home" class="navbar-brand">
                
              </a>
            </section>
          </div>
        </div>
        <div class="search search-close col d-flex justify-content-end">
          <button class="search-btn" type="button" data-toggle="collapse" data-target="#search-form" aria-expanded="false" aria-controls="search-form">
            <i class="fa fa-times fa-2x" aria-hidden="true"></i>
          </button>
        </div>
      </div>
      <div class="row">
        <div class="col">
          <section class="region region-search">
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<div class="views-exposed-form bef-exposed-form block block-views block-views-exposed-filter-blocksearch-finra-page-1" data-bef-auto-submit-full-form="" data-drupal-selector="views-exposed-form-search-finra-page-1" id="block-exposedformsearch-finrapage-1" data-block-plugin-id="views_exposed_filter_block:search_finra-page_1">

    <div class="finra-container">
        <div class="content">

            <form action="/search" method="get" id="views-exposed-form-search-finra-page-1" accept-charset="UTF-8">
                <div class="form-row">

                    <fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-search-api-fulltext form-item-search-api-fulltext form-group">
                        <label for="edit-search-api-fulltext">Fulltext search</label>
                        <input data-bef-auto-submit-exclude="" data-drupal-selector="edit-search-api-fulltext" type="text" id="edit-search-api-fulltext" name="search_api_fulltext" value="" size="30" maxlength="128" placeholder="Search FINRA.org" class="form-text form-control" />
                    </fieldset>

                    <fieldset class="js-form-item js-form-type-select form-type-select js-form-item-c-field-core-content-type-tax form-item-c-field-core-content-type-tax form-group">
                        <label for="edit-c-field-core-content-type-tax">Type</label>

                        <select class="multiselect form-select form-control custom-select-style" data-drupal-selector="edit-c-field-core-content-type-tax" multiple="multiple" name="c_field_core_content_type_tax[]" id="edit-c-field-core-content-type-tax" size="9"><option value="148736">2017 Exam Findings Report</option><option value="148741">2018 Exam Findings Report</option><option value="150691">2019 Exam Findings Report</option><option value="151226">2021 Report on FINRA's Examination and Risk Monitoring Program</option><option value="3750">A Few Minutes With FINRA</option><option value="4825">About FINRA</option><option value="3749">Annual Regulatory and Examination Priorities Letters</option><option value="4827">Arbitration and Mediation</option><option value="4828">Blog Post</option><option value="3748">Board of Governors Meeting</option><option value="148721">Careers</option><option value="3744">Communications to Firms</option><option value="3662">Compliance Tools</option><option value="4899">Conference Call</option><option value="4921">Content Outline</option><option value="4068">Continuing Education</option><option value="19">Disciplinary Action Report</option><option value="1685">Election Notice</option><option value="4084">Email to Firms</option><option

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value="165">Events & Training</option><option value="4315">Exemptive Letter</option><option value="176">FAQ</option><option value="4085">Filing and Reporting</option><option value="4082">Financial Reports</option><option value="4879">FINRA's Financial Guiding Principles</option><option value="4900">FINRA360 Progress Report</option><option value="3631">Form</option><option value="3751">From Small Firm Advisory Board (SFAB)</option><option value="3745">Get Involved</option><option value="1709">Guidance</option><option value="4071">Hide From What's New</option><option value="1761">Information Notice</option><option value="4316">Interpretive Letter</option><option value="242">Investor Alert</option><option value="8">Investor Education</option><option value="4619">Investor Highlights</option><option value="150651">Investor Insights</option><option value="4096">Key Topic</option><option value="148746">Manage Your Career</option><option value="3630">Media Center</option><option value="209">Monthly Disciplinary Actions</option><option value="464">Neutral Corner</option><option value="227">News Release</option><option value="223">Notice</option><option value="3684">Notice to Members</option><option value="148726">Oversight & Enforcement</option><option value="270">Podcast</option><option value="150996">Protecting Senior Investors 2015-2020</option><option value="447">Publication</option><option value="3627">Qualification Exam</option><option value="128">Quarterly Disciplinary Review</option><option value="4069">Registration</option><option value="462">Regulatory and Compliance Alerts (RCA)</option><option value="1700">Regulatory Notice</option><option value="118">Report / Study</option><option value="148731">Report Card</option><option value="671">Request for Comment</option><option value="61">Rule</option><option value="160">Rule Filing</option><option value="4541">Special Notice</option><option value="74">Speech / Testimony</option><option value="3737">Targeted Examination Letter</option><option value="4531">Technical Documentation</option><option value="4529">Technical Notice</option><option value="4561">The Alert Investor</option><option value="1915">Trade Reporting Notice</option><option value="238">Training</option><option value="4910">User Guide</option><option value="4083">Video</option><option value="150906">Virtual Conference Panel</option><option value="296">Webinar</option></select>
 </fieldset>

<fieldset class="js-form-item js-form-type-select form-type-select js-form-item-c-field-core-topic form-item-c-field-core-topic form-group">
 <label for="edit-c-field-core-topic">Topic</label>
 <select class="multiselect form-select form-control custom-select-style" data-drupal-selector="edit-c-field-core-topic" multiple="multiple" name="c\_field\_core\_topic[]" id="edit-c-field-core-topic" size="9"><option value="1">401(k)</option><option value="102">403(b)</option><option value="178">457</option><option value="135">529 Prepaid Tuition Plans</option><option value="212">529 Savings Plans</option><option value="150606">Accounts At Other Broker Dealers and Financial

Institutions</option><option value="251">Advertising Regulation</option><option value="284">Agency Bonds</option><option value="4183">Algorithmic Trading</option><option value="31">Alternative and Complex Products</option><option value="201">Alternative Display Facility (ADF)</option><option value="148761">Annual Audit</option><option value="64">Anti-Money Laundering</option><option value="146">Arbitration and Mediation</option><option value="134">Asset Backed Securities</option><option value="196">Auction Rate Securities</option><option value="4978">Back testing</option><option value="66">Bank Products</option><option value="4449">Best Execution</option><option value="83">Best Practices</option><option value="4564">Block Chain / Distributed Ledger Technology</option><option value="4446">Blue Sheets</option><option value="241">Bond Funds</option><option value="5019">Bond Mutual Fund Volatility/Risk Rating</option><option value="32">Bonds</option><option value="2">Books and Records</option><option value="4959">Branch Offices</option><option value="30">Breakpoints</option><option value="3602">Broker Dealer Registration</option><option value="4468">Broker Migration</option><option value="4445">Broker-Dealer Recruitment Disclosures</option><option value="4940">Brokerage</option><option value="268">BrokerCheck</option><option value="4970">Business Cards</option><option value="240">Business Continuity Planning</option><option value="4980">Business Development Company (BDC)</option><option value="4533">Capital Acquisition Brokers</option><option value="4942">Capital Formation</option><option value="4895">Carrying Agreements</option><option value="4861">Cash Equivalents</option><option value="255">Catastrophe Bonds</option><option value="3613">Central Registration Depository (CRD)</option><option value="246">Certificates of Deposit (CDs)</option><option value="259">Collateralized Mortgage Obligations (CMOs)</option><option value="147">College Savings Plans</option><option value="292">Commodities and Futures</option><option value="197">Communications with the Public</option><option value="299">Compensation</option><option value="4853">Compliance Resources</option><option value="3687">Comprehensive Automated Risk Data System (CARDS)</option><option value="225">Conflicts of Interest</option><option value="3614">Consolidated Audit Trail (CAT)</option><option value="5015">Consolidated Reports</option><option value="62356">Continuing Education</option><option value="5066">Continuing Membership Applications</option><option value="3681">Continuing Membership Applications</option><option value="272">Corporate Bonds</option><option value="71">Corporate Financing</option><option value="4964">Correspondence</option><option value="138">Coverdell Education Saving Accounts (ESAs)</option><option value="150881">COVID-19 / Coronavirus</option><option value="150631">Credit for Cooperation</option><option value="265">Custodial Accounts (UGMA and UTMA)</option><option value="75">Customer Account Statements</option><option value="245">Customer Account Transfers</option><option value="57">Customer Information Protection</option><option value="168">Customer Orders</option><option value="3686">Cybersecurity</option><option value="124">Day Trading</option><option value="50">Deferred Annuities</option><option value="5013">Department of Labor</option><option value="157">Derivatives</option><option value="150566">Derivatives and Other Balance Sheet Items (OBS)</option><option value="150711">Digital Experience Transformation (DXT)</option><option

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        </div>
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        </div>
        </div>
        <div class="finra-container">
        <div class="row">
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            <section class="region region-header">
            <a href="/" title="Home" rel="home" class="navbar-brand">
                
            </a>
        </section>
        </div>
        <div class="col-lg">
            <nav class="navbar navbar-dark bg-transparent" id="navbar-top">
                <div class="header-menus col collapse" id="CollapsingNavbar">
                    <div class="secondary-header-row row justify-content-between">
                        <div class="secondary-menu col-lg-9">
                            <section class="region region-secondary-menu">
                                <nav role="navigation" aria-labelledby="block-finrautilitymenu-menu" id="block-finrautilitymenu" data-block-plugin-id="system_menu_block:finra-utility-menu" class="block block-menu navigation menu--finra-utility-menu">
                                    <h2 class="sr-only" id="block-finrautilitymenu-menu">FINRA Utility Menu</h2>
                                    <ul block="block-finrautilitymenu" class="clearfix nav navbar-nav">
                                        <li class="nav-item menu-item--collapsed">
                                            <a href="/about" class="nav-link" data-drupal-link-system-path="node/135106">About FINRA</a>
                                        </li>
                                        <li class="nav-item menu-item--collapsed">
                                            <a href="/careers" class="nav-link" data-drupal-link-system-path="node/135166">Careers</a>
                                        </li>
                                        <li class="nav-item menu-item--collapsed">
                                            <a href="/media-center" class="nav-link" data-drupal-link-system-path="node/136031">Media Center</a>
                                        </li>
                                        <li class="nav-item">
                                            <a href="/contact-finra" class="nav-link" data-drupal-link-system-path="node/135416">Contact Us</a>
                                        </li>
                                    </ul>
                                </nav>
                            </section>
                        </div>
                    </div>
                </div>
            </nav>
        </div>
    </div>

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<li class="nav-item">
    <a href="https://brokercheck.finra.org" class="nav-link">BrokerCheck</a>
</li>
</ul>

</nav>

</section>

</div>
<div class="top-header col-lg-2">

</div>
<div class="top-header-form">
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<div class="content">

<div class="clearfix text-formatted field field--name-body field--type-text-with-summary field--label-hidden field__item"><div aria-controls="loginCollapse" aria-expanded="false" class="test" data-toggle="collapse" href="#loginCollapse" id="login-icon" role="button">
<p>Log In</p>
</div>

<div class="collapse" id="loginCollapse">
<div>
<ul class="list-unstyled-links"><li class="login-url"><span><a href="https://finpro.finra.org/">FinPro (The Financial Professional Gateway)</a></span></li>
    <li class="login-url"><span><a href="https://gateway.finra.org">FINRA Gateway</a> </span></li>
    <li class="login-url"><span><a href="https://drportal.finra.org">Dispute Resolution Portal</a> </span></li>
</ul></div>

<div class="login-second">
<p class="login-links"><a class="login-link" style="font-size:1.4em;important;" href="/filing-reporting/entitlement/systems">Login to Other FINRA Systems</a></p>
</div>

<div class="login-third">

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<p class="login-links"><a class="login-link" href="/filing-reporting/entitlement-program/request-access">Request Access</a> | <a class="login-link" href="/filing-reporting/entitlement-program/">About Account Creation</a></p>
</div>

<div class="login-fourth">
<p class="need-help">Need Help? Contact FINRA at 301-590-6500.</p>
</div>
</div>
</div>

</div>
</div>

</section>

</div>
</div>
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<div class="content">

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sf-no-children">><a href="/rules-guidance/notices" class="sf-depth-4">Notices</a></li><li id="finra-homepage-nav-w-megame-menu-link-content01bcde5a-18bd-49bc-ad8a-5030dfa32bce" class="sf-depth-4 header sf-no-children">><a href="/rules-guidance/guidance" class="sf-depth-4">Guidance</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentbeaeaea8-a70b-4cd5-85e7-6f315919df94" class="sf-depth-4 header sf-no-children">><a href="/rules-guidance/guidance/faqs" class="sf-depth-4">Frequently Asked Questions</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentbee8ddc9-8e5e-45fe-8124-1030d6f581fd" class="sf-depth-4 header sf-no-children">><a href="/rules-guidance/key-topics" class="sf-depth-4">Key Topics</a></li><li id="finra-homepage-nav-w-megame-menu-link-content35e5f001-c7fb-4fd8-8a91-cadf2e42c4c3" class="sf-depth-4 header sf-no-children">><a href="/rules-guidance/interpretive-questions" class="sf-depth-4">Interpretive Questions</a></li></ol></li></ol></div></li><li id="finra-homepage-nav-w-megame-menu-link-content34a6a839-8a25-4bca-ad8b-96dd506ae13b" class="sf-depth-2 header sf-multicolumn-column menuparent">><div class="sf-multicolumn-column"><a href="/" class="sf-depth-2 menuparent">R&amp;G section 2</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content11a59f72-4eb5-40c9-9f12-0e4df107d32e" class="sf-depth-3 header menuparent">><a href="/rules-guidance/rulemaking-process" class="sf-depth-3 menuparent">The Rulemaking Process</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content442f10f2-603f-48c1-8e88-dd7775df8358" class="sf-depth-4 header sf-no-children">><a href="/rules-guidance/rule-filings" class="sf-depth-4">Rule Filings</a></li><li id="finra-homepage-nav-w-megame-menu-link-content33f23a-f1bf-4676-9ac1-bb6030d21da8" class="sf-depth-4 header sf-no-children">><a href="https://tools.finra.org/rule\_filings/" class="sf-depth-4 sf-external">Rule Filing Status Report</a></li><li id="finra-homepage-nav-w-megame-menu-link-contenta34943b3-a2ae-4d0c-947a-69cb69f2b01c" class="sf-depth-4 header sf-no-children">><a href="/rules-guidance/requests-for-comments" class="sf-depth-4">Requests for Comments</a></li><li id="finra-homepage-nav-w-megame-menu-link-content30aadd78-ca2e-40ae-bced-a0ac2defb99f" class="sf-depth-4 header sf-no-children">><a href="/rules-guidance/rulebook-consolidation" class="sf-depth-4">Rulebook Consolidation</a></li></ol></li><li id="finra-homepage-nav-w-megame-menu-link-contentb0358eae-fb53-42df-afeb-1c5d10c4768f" class="sf-depth-3 header menuparent">><a href="/rules-guidance/adjudication-decisions" class="sf-depth-3 menuparent">Adjudication & Decisions</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content2a56bcb6-1f2b-46e0-a218-6e88266deb22" class="sf-depth-4 header sf-no-children">><a href="/rules-guidance/adjudication-decisions/national-adjudicatory-council-nac" class="sf-depth-4">National Adjudicatory Council (NAC)</a></li><li id="finra-homepage-nav-w-megame-menu-link-content3a218621-a4de-45c7-af83-444f7e057dfe" class="sf-depth-4 header sf-no-children">><a href="/rules-guidance/adjudication-decisions/office-hearing-officers-oho/about" class="sf-depth-4">Office of Hearing Officers (OHO)</a></li></ol></li></ol></div></li><li id="finra-homepage-nav-w-megame-menu-link-content0e906962-a50a-4493-b1b0-453314f45999" class="sf-depth-2 header sf-multicolumn-column menuparent">><div class="sf-multicolumn-column"><a href="/" class="sf-depth-2 menuparent">R&amp;G section 3</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content8f3e31d0-75c8-4832-9462-15f4bb2b194a" class="sf-depth-3 header menuparent">><a href="/rules-guidance/enforcement" class="sf-depth-3 menuparent">Enforcement</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content9aeb2774-cf45-4d9a-91a4-453f45d67c2e" class="sf-depth-4 header sf-no-children">><a href="/rules-

guidance/oversight-enforcement/disciplinary-actions-online" class="sf-depth-4">Disciplinary Actions Online</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentb29d8043-edf0-4cbf-b309-617895a7291b" class="sf-depth-4 header sf-no-children"><a href="/rules-guidance/oversight-enforcement/disciplinary-actions" class="sf-depth-4">Monthly Disciplinary Actions</a></li><li id="finra-homepage-nav-w-megame-menu-link-content0fc35c29-9b69-442e-a100-6f43dad32529" class="sf-depth-4 header sf-no-children"><a href="/rules-guidance/oversight-enforcement/sanction-guidelines" class="sf-depth-4">Sanction Guidelines</a></li><li id="finra-homepage-nav-w-megame-menu-link-content97dca4ad-2cc0-4d04-88e7-2f3f2fffc484" class="sf-depth-4 header sf-no-children"><a href="/rules-guidance/oversight-Oversight%20%26%20Enforcement/individuals-barred-finra" class="sf-depth-4">Individuals Barred by FINRA</a></li></ol></li></ol></div></li></ol></li></ul></li><li id="finra-homepage-nav-w-megame-menu-link-content6246d576-c6c4-40b2-bf29-c84cbcd6e5f6" class="sf-depth-1 header menuparent"><a href="/registration-exams-ce" class="sf-depth-1 menuparent">Registration, Exams & CE</a><ul class="sf-multicolumn"><li class="sf-multicolumn-wrapper"><ol><li id="finra-homepage-nav-w-megame-menu-link-contente77a7ced-1006-4699-96fa-abba0b04ee92" class="sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column"><a href="/" class="sf-depth-2 menuparent">Registration section 1</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content7382dda4-d27f-4b09-a78b-345a21172d18" class="sf-depth-3 header menuparent"><a href="/registration-exams-ce/registration" class="sf-depth-3 menuparent">Registration</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content559e0f15-30c4-444d-8d7f-8cf5d84f1398" class="sf-depth-4 header sf-no-children"><a href="/registration-exams-ce/broker-dealers" class="sf-depth-4">Broker Dealers</a></li><li id="finra-homepage-nav-w-megame-menu-link-content05b7a849-0aee-4e04-b48f-e342ab607ad1" class="sf-depth-4 header sf-no-children"><a href="/registration-exams-ce/capital-acquisition-brokers" class="sf-depth-4">Capital Acquisition Brokers</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentead9f92a-652b-4ffe-845d-7a0e9cf19886" class="sf-depth-4 header sf-no-children"><a href="/registration-exams-ce/funding-portals" class="sf-depth-4">Funding Portals</a></li><li id="finra-homepage-nav-w-megame-menu-link-content014044e4-2881-4050-a49d-857a255fe0f1" class="sf-depth-4 header sf-no-children"><a href="/registration-exams-ce/individuals" class="sf-depth-4">Individuals</a></li></ol></li></ol></div></li><li id="finra-homepage-nav-w-megame-menu-link-content0bff760a-f8cf-424a-9ddf-28458084a738" class="sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column"><a href="/" class="sf-depth-2 menuparent">Registration section 2</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content1de7b82c-9510-4299-80fd-ffa92b653ff3" class="sf-depth-3 header menuparent"><a href="/registration-exams-ce/qualification-exams" class="sf-depth-3 menuparent">Qualification Exams</a><ol><li id="finra-homepage-nav-w-megame-menu-link-contentdff59b69-4368-4ef8-b3f6-73f837dc91f5" class="sf-depth-4 header sf-no-children"><a href="/registration-exams-ce/qualification-exams/securities-industry-essentials-exam-sie" class="sf-depth-4">Securities Industry Essentials Exam (SIE)</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentf5cd72c5-e78f-4052-9227-e38de594970e" class="sf-depth-4 header sf-no-children"><a href="/registration-exams-ce/qualification-exams/series7" class="sf-depth-4">Series 7</a></li><li id="finra-homepage-nav-w-megame-menu-link-content9b809e13-52b4-4983-b0e4-573324627730" class="sf-depth-4 header sf-no-children"><a href="/registration-exams-ce/qualification-exams" class="sf-depth-



bb92cc9bc1bb" class="sf-depth-2 header sf-no-children">><a href="/filing-reporting/finra-entitlement-program" class="sf-depth-2">Entitlement Program</a></li><li id="finra-homepage-nav-w-megame-menu-link-content45890a60-ffd0-408b-b688-d3cb5ea16c3b" class="sf-depth-2 header sf-no-children">><a href="/filing-reporting/finra-gateway" class="sf-depth-2">FINRA Gateway</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentbae311ee-22aa-495b-b1e4-08103bff186c" class="sf-depth-2 header sf-no-children">><a href="/filing-reporting/market-transparency-reporting" class="sf-depth-2">Market Transparency Reporting Tools</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentfe09146b-9227-43ad-8c9d-90f2fdbf9abb" class="sf-depth-2 header sf-no-children">><a href="/filing-reporting/regulatory-filing-systems" class="sf-depth-2">Regulatory Filing Systems</a></li><li id="finra-homepage-nav-w-megame-menu-link-content511e4ed3-fbd4-4e2c-b021-233e34a30d7f" class="sf-depth-2 header sf-no-children">><a href="/filing-reporting/data-transfer-tools" class="sf-depth-2">Data Transfer Tools</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentf50e0e83-fb3a-4267-afb0-26381a1b6548" class="sf-depth-2 header sf-no-children">><a href="/filing-reporting/e-bill" class="sf-depth-2">E-Bill</a></li></ol></li></ul><li id="finra-homepage-nav-w-megame-menu-link-content858bee61-be4f-4019-9504-8f52219e46c2" class="sf-depth-1 header menuparent">><a href="/compliance-tools" class="sf-depth-1 menuparent">Compliance Tools</a><ul class="sf-multicolumn">><li class="sf-multicolumn-wrapper">><ol><li id="finra-homepage-nav-w-megame-menu-link-contentd9aba95e-f14e-492f-a311-b1deb2d641a4" class="sf-depth-2 header sf-no-children">><a href="/compliance-tools/cybersecurity-checklist" class="sf-depth-2">Cybersecurity Checklist</a></li><li id="finra-homepage-nav-w-megame-menu-link-contente8f6a8d2-5339-434b-bf53-454414f1bd22" class="sf-depth-2 header sf-no-children">><a href="/compliance-tools/compliance-calendar" class="sf-depth-2">Compliance Calendar</a></li><li id="finra-homepage-nav-w-megame-menu-link-content909b0c56-9c3f-45f5-a5c7-1fb357836217" class="sf-depth-2 header sf-no-children">><a href="/compliance-tools/weekly-archive" class="sf-depth-2">Weekly Update Email Archive</a></li><li id="finra-homepage-nav-w-megame-menu-link-content70bf8471-d3be-4434-89ad-6a7dad2f03ed" class="sf-depth-2 header sf-no-children">><a href="/compliance-tools/peer-2-peer-compliance-library" class="sf-depth-2">Peer-2-Peer Compliance Library</a></li><li id="finra-homepage-nav-w-megame-menu-link-content4c70c880-5b3f-4360-a426-51880fac55db" class="sf-depth-2 header sf-no-children">><a href="/compliance-tools/preferred-pricing-program" class="sf-depth-2">Preferred Pricing Program</a></li><li id="finra-homepage-nav-w-megame-menu-link-contenta11a1eb4-fdc8-42d3-8871-b29e49b4bfca" class="sf-depth-2 header sf-no-children">><a href="/compliance-tools/compliance-vendor-directory" class="sf-depth-2">Compliance Vendor Directory</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentfd1f1648-ab67-4ad3-aaff-82654eb5c03c" class="sf-depth-2 header sf-no-children">><a href="/compliance-tools/all-compliance-tools" class="sf-depth-2">All</a></li></ol></li></ul><li id="finra-homepage-nav-w-megame-menu-link-content166813ea-e8cf-4186-afde-ac390338cb34" class="active-trail sf-depth-1 header menuparent">><a href="/investors" class="sf-depth-1 menuparent">For Investors</a><ul class="sf-multicolumn">><li class="sf-multicolumn-wrapper">><ol><li id="finra-homepage-nav-w-megame-menu-link-content487f0260-89ef-4669-b813-59783f448eaa" class="sf-depth-2 header sf-multicolumn-column menuparent">><div class="sf-multicolumn-column">><a href="/" class="sf-depth-2 menuparent">For Investors section 1</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content9e05d85c-ba77-4f30-aa90-

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depth-4">Young Adults and Investing</a></li></ol></li><li id="finra-homepage-nav-w-megame-menu-link-content7f700e32-3172-4bda-a1cb-30dc3474d8b7" class="sf-depth-3 header menuparent"><a href="/investors/protect-your-money" class="sf-depth-3 menuparent">Protect Your Money</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content592dcde4-0665-44cd-807f-513d52fafa2c" class="sf-depth-4 header sf-no-children"><a href="/investors/alerts" class="sf-depth-4">Investor Alerts</a></li><li id="finra-homepage-nav-w-megame-menu-link-content1309983b-3f28-4963-a62d-0480a05bc438" class="sf-depth-4 header sf-no-children"><a href="/investors/protect-your-money/ask-and-check" class="sf-depth-4">Ask and Check</a></li><li id="finra-homepage-nav-w-megame-menu-link-content7182170a-17a2-460a-a0ed-58558026b7b5" class="sf-depth-4 header sf-no-children"><a href="/investors/protect-your-money/avoid-fraud" class="sf-depth-4">Avoid Fraud</a></li><li id="finra-homepage-nav-w-megame-menu-link-content22335996-9b97-4987-a258-9236142677ea" class="sf-depth-4 header sf-no-children"><a href="/investors/protect-your-money/protect-your-identity" class="sf-depth-4">Protect Your Identity</a></li></ol></li></ol></div></li><li id="finra-homepage-nav-w-megame-menu-link-content91b356cf-c2a8-4b63-88f6-ce00da02e866" class="active-trail sf-depth-2 header sf-multicolumn-column menuparent"><div class="sf-multicolumn-column"><a href="/" class="sf-depth-2 menuparent">For Investors section 3</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content41b96366-28ff-43a8-ad5e-ed305e7d67a0" class="active-trail sf-depth-3 header menuparent"><a href="/investors/have-problem" class="sf-depth-3 menuparent">Have a Problem?</a><ol><li id="finra-homepage-nav-w-megame-menu-link-content6aea10f3-7921-43a1-bca4-370eaa5595dc" class="sf-depth-4 header sf-no-children"><a href="/investors/have-problem/file-complaint" class="sf-depth-4">File a Complaint</a></li><li id="finra-homepage-nav-w-megame-menu-link-content6c615aeb-1710-4594-8190-4d5d09ae271b" class="sf-depth-4 header sf-no-children"><a href="/investors/have-problem/helpline-seniors" class="sf-depth-4">FINRA Securities Helpline for Seniors</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentd7c8214d-622b-4b84-bfba-2f0fe1d517d2" class="active-trail sf-depth-4 header sf-no-children"><a href="/arbitration-mediation" class="sf-depth-4">Dispute Resolution</a></li><li id="finra-homepage-nav-w-megame-menu-link-contentafbe1bce-eeeb-4015-8fe3-17b74146838c" class="sf-depth-4 header sf-no-children"><a href="/investors/have-problem/your-rights-under-sipc-protection" class="sf-depth-4">SIPC Protection</a></li><li id="finra-homepage-nav-w-megame-menu-link-content2fec964a-fdd3-4807-843a-c00167921c04" class="sf-depth-4 header sf-no-children"><a href="/investors/have-problem/legitimate-avenues-recovery-investment-losses" class="sf-depth-4">Avenues for Recovery of Losses</a></li></ol></li></ol></div></li></li></ul></li>
</ul>

</div>
</div>

</section>

</div>
<div class="search-icon d-flex justify-content-end">
    <button class="search-btn" type="button" data-toggle="collapse" data-target="#search-form" aria-expanded="false" aria-controls="search-form">

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        <i class="fa fa-search fa-2x" aria-hidden="true"></i>
        </button>
    </div>
        </div>
    </div>
    <button class="navbar-toggler navbar-toggler-right" type="button" data-
        toggle="collapse" data-target="#CollapsingNavbar" aria-controls="CollapsingNavbar"
        aria-expanded="false" aria-label="Toggle navigation"><span class="navbar-toggler-
        icon"></span></button>
        </nav>
    </div>
    </div>
    </div>
<div class="finra-container">
    <div class="row">
        <div class="col">

            </div>
        </div>
    </div>
</header>

<div id="main-wrapper" class="layout-main-wrapper clearfix">
    <div id="main" class="container-fluid finra-container">

<section class="row">
    <div class="col-lg-7 specific-crumb region region-breadcrumb">
        <div id="block-finra-bootstrap-sass-breadcrumbs" data-block-plugin-
            id="system_breadcrumb_block" class="breadcrumbs__container">

<nav role="navigation" aria-label="breadcrumb">
    <ol class="breadcrumb">
        <li class="breadcrumb-item">
            <a href="/arbitration-mediation">FINRA Dispute Resolution Services</a>
        </li>
    </ol>
</nav>

</div>
</div>
</section>

<div class="row row-offcanvas row-offcanvas-left clearfix">

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<div class="sidebar col-lg-3 finra-sidebar-first menu-top"
id="sidebar_first">
    <aside class="section menu-sticky" role="complementary">

        <div class="layout--left-nav">
            <div onclick="this.classList.toggle('active')" class="d-sm-block d-lg-none
left-nav-toggle arrow-down" data-toggle="collapse" data-target=".layout-collapse">
                EXPLORE THIS SECTION
            </div>
            <div class="left-nav-collapse collapse layout-collapse">
                <div class="views-exposed-form bef-exposed-form block block-views
block-views-exposed-filter-blockao-views-page-1" data-drupal-selector="views-
exposed-form-aaoo-views-page-1" id="block-exposedformao-views-page-1" data-block-
plugin-id="views_exposed_filter_block:aaoo_views-page_1">

<div class="content">

<form action="/arbitration-mediation/arbitration-awards-online" method="get" id="views-
exposed-form-aaoo-views-page-1" accept-charset="UTF-8">
    <div class="form-row">
        <fieldset class="radio-two-column fieldgroup form-composite js-form-item form-item js-
form-wrapper form-group" data-drupal-selector="edit-aaoo-radios" id="edit-aaoo-radios-
wrapper">
            <legend>
                <span class="fieldset-legend">Search</span>
            </legend>
            <div class="fieldset-wrapper">
                <div id="edit-aaoo-radios" class="radio">

                    <div class="js-form-item js-form-type-radio radio form-check js-form-item-aaoo-radios
form-item-aaoo-radios">
                        <input class="radio-two-column form-radio form-check-input" data-drupal-
selector="edit-aaoo-radios-all" type="radio" id="edit-aaoo-radios-all" name="aaoo_radios"
value="all" checked="checked">
                        <label class="js-form-item js-form-type-radio radio form-check js-form-item-aaoo-
radios form-item-aaoo-radios form-check-label" for="edit-aaoo-radios-all">
                            All Cases
                        </label>
                    </div>

                    <div class="js-form-item js-form-type-radio radio form-check js-form-item-aaoo-radios
form-item-aaoo-radios">

```

```

<input class="radio-two-column form-radio form-check-input" data-drupal-
selector="edit-aa0-radios-case-id" type="radio" id="edit-aa0-radios-case-id"
name="aa0_radios" value="case_id">
    <label class="js-form-item js-form-type-radio radio form-check js-form-item-aa0-
radios form-item-aa0-radios form-check-label" for="edit-aa0-radios-case-id">
        Case ID
    </label>
</div>
</div>

</div>
</fieldset>

<fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-
search form-item-search form-no-label form-group">
    <input placeholder="Case Number, Keyword or Name" data-drupal-
selector="edit-search" type="text" id="edit-search" name="search" value="17-01857"
size="30" maxlength="128" class="form-text form-control" />

</fieldset>

<fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-field-
case-id-text form-item-field-case-id-text form-no-label form-group">
    <input placeholder="Case Number" data-drupal-selector="edit-field-case-id-
text" type="text" id="edit-field-case-id-text" name="field_case_id_text" value="" size="30"
maxlength="128" class="form-text form-control" />

</fieldset>

<fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-field-
core-official-dt-min form-item-field-core-official-dt-min form-group">
    <label for="edit-field-core-official-dt-min">Date of Award</label>
    <input placeholder="mm/dd/yyyy" class="bef-datepicker form-text form-
control" data-drupal-selector="edit-field-core-official-dt-min" type="text" id="edit-field-
core-official-dt-min" name="field_core_official_dt[min]" value="" size="30"
maxlength="128" />

</fieldset>

<fieldset class="js-form-item js-form-type-textfield form-type-textfield js-form-item-field-
core-official-dt-max form-item-field-core-official-dt-max form-group">

```

```

<label for="edit-field-core-official-dt-max">And</label>
    <input placeholder="mm/dd/yyyy" class="bef-datepicker form-text form-control" data-drupal-selector="edit-field-core-official-dt-max" type="text" id="edit-field-core-official-dt-max" name="field_core_official_dt[max]" value="" size="30" maxlength="128" />

    </fieldset>
<fieldset data-drupal-selector="edit-field-document-type-tax" id="edit-field-document-type-tax--wrapper" class="fieldgroup form-composite js-form-item form-item js-form-wrapper form-group">
    <legend>
        <span class="fieldset-legend">Document Type</span>
    </legend>
    <div class="fieldset-wrapper">
        <div id="edit-field-document-type-tax" class="checkbox"><div data-drupal-selector="edit-field-document-type-tax" id="edit-field-document-type-tax--wrapper" class="fieldgroup form-composite form-checkboxes">

            <div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4224 form-item-field-document-type-tax-4224">
                <input data-drupal-selector="edit-field-document-type-tax-4224" type="checkbox" id="edit-field-document-type-tax-4224" name="field_document_type_tax[4224]" value="4224" class="form-checkbox form-check-input">
                    <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4224 form-item-field-document-type-tax-4224 form-check-label" for="edit-field-document-type-tax-4224">
                        Award
                    </label>
                </div>

            <div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4890 form-item-field-document-type-tax-4890">
                <input data-drupal-selector="edit-field-document-type-tax-4890" type="checkbox" id="edit-field-document-type-tax-4890" name="field_document_type_tax[4890]" value="4890" class="form-checkbox form-check-input">
                    <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4890 form-item-field-document-type-tax-4890 form-check-label" for="edit-field-document-type-tax-4890">
                        Motion to Confirm
                    </label>
                </div>

```

```
<div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4594 form-item-field-document-type-tax-4594">
  <input data-drupal-selector="edit-field-document-type-tax-4594"
  type="checkbox" id="edit-field-document-type-tax-4594"
  name="field_document_type_tax[4594]" value="4594" class="form-checkbox form-check-input">
  <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4594 form-item-field-document-type-tax-4594 form-check-label" for="edit-field-document-type-tax-4594">
    Motion to Vacate
  </label>
</div>
```

```
<div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4235 form-item-field-document-type-tax-4235">
  <input data-drupal-selector="edit-field-document-type-tax-4235"
  type="checkbox" id="edit-field-document-type-tax-4235"
  name="field_document_type_tax[4235]" value="4235" class="form-checkbox form-check-input">
  <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4235 form-item-field-document-type-tax-4235 form-check-label" for="edit-field-document-type-tax-4235">
    Order to Confirm
  </label>
</div>
```

```
<div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4234 form-item-field-document-type-tax-4234">
  <input data-drupal-selector="edit-field-document-type-tax-4234"
  type="checkbox" id="edit-field-document-type-tax-4234"
  name="field_document_type_tax[4234]" value="4234" class="form-checkbox form-check-input">
  <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4234 form-item-field-document-type-tax-4234 form-check-label" for="edit-field-document-type-tax-4234">
    Order to Vacate
  </label>
</div>
```

```

<div class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4236 form-item-field-document-type-tax-4236">
  <input data-drupal-selector="edit-field-document-type-tax-4236" type="checkbox" id="edit-field-document-type-tax-4236" name="field_document_type_tax[4236]" value="4236" class="form-checkbox form-check-input">
    <label class="js-form-item js-form-type-checkbox checkbox form-check js-form-item-field-document-type-tax-4236 form-item-field-document-type-tax-4236 form-check-label" for="edit-field-document-type-tax-4236">
      Other
    </label>
  </div>
</div>

</div>
</div>

</div>
</fieldset>

<fieldset class="js-form-item js-form-type-select form-type-select js-form-item-field-forum-tax form-item-field-forum-tax form-group">
  <label for="edit-field-forum-tax">Forum</label>

  <select data-drupal-selector="edit-field-forum-tax" id="edit-field-forum-tax" name="field_forum_tax" class="form-select form-control custom-select-style"><option value="All" selected="selected">- Any -</option><option value="150901">All Forums</option><option value="4226">AMEX</option><option value="4237">CBOE</option><option value="4225">FINRA</option><option value="4229">MSRB</option><option value="4223">NASD</option><option value="4228">NYSE</option><option value="4230">Pacific Exchange/ARCA</option><option value="4227">PHLX</option></select>
</fieldset>

<fieldset class="js-form-item js-form-type-select form-type-select js-form-item-field-special-case-type-tax form-item-field-special-case-type-tax form-group">
  <label for="edit-field-special-case-type-tax">Panel Composition</label>

  <select data-drupal-selector="edit-field-special-case-type-tax" id="edit-field-special-case-type-tax" name="field_special_case_type_tax" class="form-select form-control custom-select-style"><option value="All" selected="selected">- Any -</option><option value="4233">All Public Panel</option><option value="4238">Large Case Project</option><option value="4232">Majority Public Panel</option><option

```

```

value="4231">Public Arbitrator Pilot Program</option><option value="150801">Special
Proceeding</option></select>
</fieldset>
<div data-drupal-selector="edit-actions" class="form-actions js-form-wrapper form-group"
id="edit-actions"><input data-drupal-selector="edit-submit-aaoviews" type="submit"
id="edit-submit-aaoviews" value="Apply" class="button js-form-submit form-submit btn
btn-primary form-control" />

<input data-drupal-selector="edit-reset" type="submit" id="edit-reset" name="op"
value="Reset Filters" class="button js-form-submit form-submit btn btn-primary form-
control" />

</div>
</div>
</form>
</div>
</div>

</div>
</div>

</aside>
</div>

<main class="main-content col" id="content" role="main">
<section class="section">
<a id="main-content" tabindex="-1"></a>
<div id="block-finra-bootstrap-sass-system-main" data-block-plugin-
id="system_main_block" class="block block-system block-system-main-block">

<div class="content">
<div class="views-element-container">
<div class="view view-aaoviews view-id-aaoviews view-display-id-page_1 js-view-
dom-id-4de797112eceed28e26a28e380c8528c5d4a4fdece5c6c2dc9f4cb43ed36955b">

<div class="view-header">
<h1>Arbitration Awards Online</h1>
<div class="header_sort_aaoviews"><b>Sort: </b> Most Relevant | <a
href="https://www.finra.org/arbitration-mediation/arbitration-awards-
online?aaoradios=all&field_case_id_text=&search=17-
01857&field_forum_tax=All&field_special_case_type_tax=All&field_core_
official_dt%5Bmin%5D=&field_core_official_dt%5Bmax%5D=&order=field_cor

```

<p>e_official_dt&amp;sort=DESC" data-toggle="tooltip" data-placement="top" title="Sort results by date with the most recent first."&gt;Most Recent&lt;/a&gt; &lt;/div&gt;</p> <p>&lt;div class="globalAlignRight"&gt;Displaying 1 - 1 of 1&lt;/div&gt;</p> <p>&lt;/div&gt;</p>					
Award Document		Case Summary	Document Type	Forum	Date of Award
<th id="view-field-award-document-file-media-table-column" class="views-field views-field-field-award-document-file-media" scope="col">Award Document</th>		<th class="width50 views-field views-field-views-conditional-field-7" id="view-views-conditional-field-7-table-column" scope="col">Case Summary</th>	<th id="view-field-document-type-tax-table-column" class="views-field views-field-field-document-type-tax" scope="col">Document Type</th>	<th id="view-field-forum-tax-table-column" class="views-field views-field-field-forum-tax" scope="col">Forum</th>	<th class="width12 views-field views-field-field-core-official-dt" id="view-field-core-official-dt-table-column" scope="col">Date of Award</th>
</tr>		</thead>	<tbody>	<tr>	<td headers="view-field-award-document-file-media-table-column" class="views-field views-field-field-award-document-file-media"><a href="/sites/default/files/aa0_documents/17-01857.pdf" target="_blank">17-01857</a>
</td>		<td headers="view-views-conditional-field-7"><div class="push-down-15">	<div><span class="spanBold label">Claimant(s): </span> IRA of Jonathan M. Seltzer, IRA of Susan O. Seltzer, SEP IRA of Jonathan M. Seltzer, Rev Trust of Jonathan M. Seltzer, Rev Trust of Susan O. Seltzer</div>	<td headers="view-views-conditional-field-7"><div class="push-down-15">	<td headers="view-views-conditional-field-7"><div class="push-down-15">
<div><span class="spanBold label">Claimant Representative(s): </span> Jonathan and Susan Seltzer </div>		<div><span class="spanBold label">Respondent(s): </span> U.S. Bancorp Investments, Inc. </div>	<div><span class="spanBold label">Respondent Representative(s): </span> Shawn Larsen Bright </div>	<div><span class="spanBold label">Neutral(s): </span> Ilene T. Gormly, Tina Alison Davis, Rick Gale Doty </div>	<div><span class="spanBold label">Hearing Site: </span>Denver, CO</div>
</div>					

```

        </td>
        <td headers="view-field-
document-type-tax-table-column" class="views-field views-field-field-document-type-
tax">Award </td>
        <td headers="view-field-forum-
tax-table-column" class="views-field views-field-field-forum-tax">FINRA </td>
        <td headers="view-field-core-
official-dt-table-column" class="views-field views-field-field-core-official-dt">09/05/2018
</td>
    </tr>
</tbody>
</table>
</div>

</div>

</div>
</div>

</div>
</div>

</div>
</div>
</div>

</div>
</div>
</div>

<div id = "article-columns" class="adjustable-columns">
    </div>
<footer id="FINRA_footer" class="site-footer">
    <div class="container-fluid">
        <div class="finra-container">
            <div class ="row">
                <section class="col col-4 region region-footer-first">
                    <a href="/" title="Home" rel="home" class="navbar-brand">
                        
                    </a>
                    <nav role="navigation" aria-labelledby="block-finramainnavigation-3-menu" id="block-
finramainnavigation-3" data-block-plugin-id="system_menu_block:finra-main-navigation"
class="block block-menu navigation menu--finra-main-navigation">

```

<h2 class="sr-only" id="block-finramainnavigation-3-menu">FINRA Main Navigation</h2>

```

        <ul block="block-finramainnavigation-3" class="clearfix nav navbar-
nav">
            <li class="nav-item menu-item--collapsed">
                <a href="/rules-guidance" class="nav-link" data-drupal-link-system-
path="node/105256">Rules &amp; Guidance</a>
            </li>
            <li class="nav-item menu-item--collapsed">
                <a href="/registration-exams-ce" class="nav-link" data-drupal-link-system-
path="node/126826">Registration, Exams &amp; CE</a>
            </li>
            <li class="nav-item menu-item--collapsed">
                <a href="/events-training" class="nav-link" data-drupal-link-system-
path="node/105306">Events &amp; Training</a>
            </li>
            <li class="nav-item menu-item--collapsed">
                <a href="/filing-reporting" class="nav-link" data-drupal-link-system-
path="node/135036">Filing &amp; Reporting</a>
            </li>
            <li class="nav-item menu-item--collapsed">
                <a href="/compliance-tools" class="nav-link" data-drupal-link-system-
path="node/136611">Compliance Tools</a>
            </li>
            <li class="nav-item menu-item--collapsed menu-item--active-trail">
                <a href="/investors" class="nav-link active" data-drupal-link-system-
path="node/126766">For Investors</a>
            </li>
        </ul>
    
```

```

    </nav>
<nav role="navigation" aria-labelledby="block-finrautilitymenu-2-menu" id="block-
finrautilitymenu-2" data-block-plugin-id="system_menu_block:finra-utility-menu"
class="block block-menu navigation menu--finra-utility-menu">

```

<h2 class="sr-only" id="block-finrautilitymenu-2-menu">FINRA Utility Menu</h2>

```

        <ul block="block-finrautilitymenu-2" class="clearfix nav navbar-
nav">
            <li class="nav-item menu-item--collapsed">
                <a href="/about" class="nav-link" data-drupal-link-system-
path="node/135106">About FINRA</a>
            </li>
            <li class="nav-item menu-item--collapsed">

```

```

        <a href="/careers" class="nav-link" data-drupal-link-system-
path="node/135166">Careers</a>
    </li>
    <li class="nav-item menu-item--collapsed">
        <a href="/media-center" class="nav-link" data-drupal-link-system-
path="node/136031">Media Center</a>
    </li>
    <li class="nav-item">
        <a href="/contact-finra" class="nav-link" data-drupal-link-system-
path="node/135416">Contact Us</a>
    </li>
    <li class="nav-item">
        <a href="https://brokercheck.finra.org" class="nav-link">BrokerCheck</a>
    </li>
</ul>

</nav>

</section>

<div class="col-lg-8 col-md-6 finra-contacts">
    <div class="row">
        <section class="row region region-footer-highlight">
            <div id="block-footerhighlight" data-block-plugin-id="block_content:13129ca4-9a12-
445a-8240-396c465d4de4" class="block block-block-content block-block-
content13129ca4-9a12-445a-8240-396c465d4de4">

<div class="content">

    <div class="clearfix text-formatted field field--name-body field--type-text-with-
summary field--label-hidden field__item"><div>
<div class="highlight-text">
<p><a class="footer-link" href="/arbitration-mediation">ARBITRATION &amp;
MEDIATION</a></p>
<span>FINRA operates the largest securities dispute resolution forum in the United
States</span></div>

<div class="btn learn-more-btn"><a class="footer-link" href="/arbitration-
mediation"><span>Learn More</span></a></div>
</div>
</div>

    </div>
</div>

</section>

```

```

</div>
<div class="row">
  <section class="col-lg-5 col-md-12 col-sm-12 region region-footer-second">
    <div id="block-footercontacts1" data-block-plugin-id="block_content:c0b288c4-fa43-4f28-869e-1e7dbba541f9" class="block block-block-content block-block-contentc0b288c4-fa43-4f28-869e-1e7dbba541f9">

      <div class="content">

        <div class="clearfix text-formatted field field--name-body field--type-text-with-summary field--label-hidden field__item"><div>
          <p><a class="footer-link" href="/investors/have-a-problem/helpline-seniors">Securities Helpline for Seniors<sup>®</sup></a></p>
          <span>844-574-3577 (Mon-Fri 9am-5pm EST)</span></div>

        <div>
          <p><a class="footer-link" href="/contact-finra/whistleblower">Whistleblower Tip Line</a></p>
          <span>866-96-FINRA or <a href="/cdn-cgi/l/email-protection#1166797862657d74737d7e6674635177787f63703f7e6376"><span class="__cf_email__" data-cfemail="7106191802051d14131d1e0614033117181f03105f1e0316">[email&#160;protected]</span></a></span></div>

        <div>
          <p><a class="footer-link" href="/about/office-ombudsman">Office of the Ombudsman</a></p>
          <span>Report a concern about FINRA at 888-700-0028</span></div>
        </div>

      </div>
    </div>
  </section>

  <section class="col-lg-5 col-md-12 col-sm-12 region region-footer-third">
    <div id="block-footercontacts2" data-block-plugin-id="block_content:0d011e02-69eb-47fd-994a-587fbeb7b81e" class="block block-block-content block-block-content0d011e02-69eb-47fd-994a-587fbeb7b81e">

      <div class="content">

        <div class="clearfix text-formatted field field--name-body field--type-text-with-summary field--label-hidden field__item"><div>
          <p><a class="footer-link" href="/investors/have-a-problem/file-complaint">Investor Complaint Center</a></p>
        </div>
      </div>
    </div>
  </section>

```

```

<span>File a complaint about fraud or unfair practices.</span></div>

<div>
<p><a class="footer-link" href="/compliance-tools/finra-small-firm-helpline">Small Firm
Help Line</a></p>
<span>833-26-FINRA (Mon-Fri 9am-5pm ET)</span></div>

<div>
<p><a class="footer-link" href="/contact-finra/file-tip">File a Regulatory Tip</a></p>
<span>To report on abuse or fraud in the industry</span></div>
</div>

</div>
</div>

</section>

</div>
<div class="row finra-legal">
    <section class="col-lg-5 col-md-12 col-sm-12 region region-footer-fourth">
        <nav role="navigation" aria-labelledby="block-footerlegallinks-menu" id="block-
        footerlegallinks" data-block-plugin-id="system_menu_block:footer-legal-links"
        class="block block-menu navigation menu--footer-legal-links">

            <h2 class="sr-only" id="block-footerlegallinks-menu">Footer Legal Links</h2>

                <ul block="block-footerlegallinks" class="clearfix nav navbar-nav">
                    <li class="nav-item">
                        <a href="/site-map" class="nav-link" data-drupal-link-system-
                        path="node/139246">Site Map</a>
                    </li>
                    <li class="nav-item">
                        <a href="/privacy-policy" class="nav-link" data-drupal-link-system-
                        path="node/135876">Privacy Policy</a>
                    </li>
                    <li class="nav-item">
                        <a href="/terms-of-use" class="nav-link" data-drupal-link-system-
                        path="node/139951">Terms of Use</a>
                    </li>
                </ul>
            </nav>
        </section>
    <section class="row col-lg-5 col-md-12 col-sm-12 region region-footer-fifth">

```

```

<nav role="navigation" aria-labelledby="block-footerlegal2-menu" id="block-
footerlegal2" data-block-plugin-id="system_menu_block:footer-legal-2" class="block
block-menu navigation menu--footer-legal-2">

<h2 class="sr-only" id="block-footerlegal2-menu">Footer Legal 2</h2>

    <ul block="block-footerlegal2" class="clearfix nav navbar-nav">
        <li class="nav-item">
            <a href="/contact-finra" class="nav-link" data-drupal-link-system-
path="node/135416">Contact</a>
        </li>
    </ul>

</nav>
<div id="block-footerphonenumbers" data-block-plugin-id="block_content:98025dd1-8f22-
479c-b7c7-74a09ba63883" class="block block-block-content block-block-
content98025dd1-8f22-479c-b7c7-74a09ba63883">

<div class="content">

    <div class="clearfix text-formatted field field--name-body field--type-text-with-
summary field--label-hidden field__item"><p>301-590-6500</p></div>

    </div>
</div>

</section>

</div>
<div class="row">
    <section class="col-lg-5 order-lg-12 order-md-1 order-sm region region-
footer-sixth">
        <div id="block-finrasociallinks" data-block-plugin-id="block_content:79395185-afca-
4832-b562-50b574a57497" class="block block-block-content block-block-
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<div class="content">

    <div class="clearfix text-formatted field field--name-body field--type-text-with-
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href="https://www.twitter.com/finra"><span class="fontawesome-icon-inline"><span
class="fa-2x fa-inverse fa-twitter fab"></span></span></a> <a
href="https://www.linkedin.com/company/finra/"><span class="fontawesome-icon-
inline"><span class="fa-2x fa-inverse fa-linkedin fab"></span></span></a> <a

```

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<script data-cfasync="false" src="/cdn-cgi/scripts/5c5dd728/cloudflare-static/email-decode.min.js"></script><script type="application/json" data-drupal-selector="drupal-settings-json">{"path":{"baseUrl":"V","scriptPath":null,"pathPrefix":"","currentPath":"arbitration-mediation/arbitration-awards-online","currentPathIsAdmin":false,"isFront":false,"currentLanguage":"en","currentQuery":{"aao_radios":"all","field_case_id_text":"","field_core_official_dt":{"min":","max":},"field_forum_tax":"All","field_special_case_type_tax":"All","search":"17-01857"}, "pluralDelimiter":"\u0003", "suppressDeprecationErrors":true, "ajaxPageState":{"libraries":"anchor_link\popup,better_exposed_filters\auto_submit,better_exposed_filters\datepickers,better_exposed_filters\general,bootstrap_barrio\breadcrumb,bootstrap_barrio\form,bootstrap_barrio\gestaOpensans,bootstrap_barrio\global-styling,chosen\drupal.chosen,chosen_lib\chosen.css,core\html5shiv,core\jquery.ui.datepicker,finra_bootstrap_sass\aaoradio,finra_bootstrap_sass\gesta,finra_bootstrap_sass\opensans,finra_bootstrap_sass\searchbutton,finra_bootstrap_sass\superfishFix,finra_solrsearch\searchViews,fontawesome\fontawesome.webfonts.shim,superfish\superfish,superfish\superfish_style_blue,superfish\superfish_supersubs,superfish\superfish_supposition,system\base\views\views.module", "theme":"finra_bootstrap_sass", "theme_token":null}, "ajaxTrustedUrl":{"Varbitration-mediationVarbitration-awards-online":true, "Vsearch":true}, "superfish":{"superfish-finra-homepage-nav-wmegame":{"id":"superfish-finra-homepage-nav-wmegame", "sf":{"animation":{"opacity":"show", "height":"show"}, "speed":"slow", "autoArrows":false, "disableHI":true}, "plugins":{"supposition":true, "supersubs":true}}}, "elasticSearch":{"url":"https://searchapi.dev.finra.org/search"}, "better_exposed_filters":{"datepicker":true, "slider":false, "settings":[], "datepicker_options":[]}, "chosen":{"selector": "select[id^=\u0022edit-field\u0022]:visible, select[id^=\u0022edit-config\u0022]:visible, select[id^=\u0022edit-options-value\u0022]:visible, select[id^=\u0022edit-options-fields\u0022]:visible, select[id=\u0022edit-node-ids\u0022]", "minimum_single":0, "minimum_multiple":0, "minimum_width":0, "use_relative_width":false, "options":{"disable_search":false, "disable_search_threshold":0, "allow_single_deselect":false, "search_contains":true, "placeholder_text_multiple":"Choose some options", "placeholder_text_single":"Choose an option", "no_results_text":"No results match", "max_shown_results":null, "inherit_select_classes":true}}, "ajax":[], "user":{"uid":0, "permissionsHash":"50d7526452663173e98c372911b5d4145a534da9a86de83bb82841446a5da07c"}}</script>
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